

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	6407008
<b>Application Number:</b>	10753069
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5428
<b>Title of Invention:</b>	Systems and methods for trading actively managed funds
<b>First Named Inventor/Applicant Name:</b>	Clifford J. Weber
<b>Customer Number:</b>	22930
<b>Filer:</b>	Michael Jay Stimson
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	00322.0008.CPUS01
<b>Receipt Date:</b>	06-NOV-2009
<b>Filing Date:</b>	08-JAN-2004
<b>Time Stamp:</b>	13:53:02
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 940
RAM confirmation Number	107
Deposit Account	083038
Authorized User	

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## File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	RequestForContinuedExamination.pdf	77492	no	3
			e2af6ea8992d0470e97c5e0b7e7f9154ebd9a154		

### Warnings:

This is not a USPTO supplied RCE SB30 form.

### Information:

2	Extension of Time	sb0022PetitionForExtension.pdf	312992	no	2
			89580e32b89cae1501b485f9f546ed1e93b19823		

### Warnings:

### Information:

3	Amendment Submitted/Entered with Filing of CPA/RCE	AmendmentsAndResponse.pdf	1285840	no	27
			810f3084723e0c41318a5b21940ba60def835ab5		

### Warnings:

### Information:

4	Terminal Disclaimer Filed	TerminalDisclaimer.pdf	93566	no	1
			b6dfdd7206be264d1ed7d7fd0059abbf0560991b		

### Warnings:

### Information:

5	Affidavit/Dec/Exhibit after Notice of Appeal	3dDeclarationCharlesBaker.pdf	60892	no	2
			2f2b61125b86408e4d26ce7fef8a44461c7ca05c		

### Warnings:

### Information:

6	Affidavit/Dec/Exhibit after Notice of Appeal	DallmerDeclaration.pdf	171509	no	5
			6f8704679ed5eabfbcd8af5cd4a00cdf0a776aee		

### Warnings:

### Information:

7	Affidavit/Dec/Exhibit after Notice of Appeal	BakerDeclaration.pdf	976087	no	14
			bca086d3cc5d5a3ce4dd237347c7cc84f957c8a2		

### Warnings:

### Information:

8	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit1BakerDecl.pdf	117623	no	3
			73239ef578278fa8360b0209b9fc5dc1cbbecacd4		
Warnings:					
Information:					
9	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit2BakerDecl.pdf	219584	no	18
			7062b6d128e227b6b1be0f99eab78934be07176e		
Warnings:					
Information:					
10	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit3BakerDecl.pdf	225830	no	4
			4a74a3a5f684ae263cf37378b2594564d7f4b48d		
Warnings:					
Information:					
11	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit4BakerDecl.pdf	172479	no	3
			ba076bc4ae6d6be65ef46547c03fefdae2da927f		
Warnings:					
Information:					
12	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit5BakerDecl.pdf	215431	no	3
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Warnings:					
Information:					
13	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit6BakerDecl.pdf	3368324	no	112
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Warnings:					
Information:					
14	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit7BakerDecl.pdf	278726	no	2
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Warnings:					
Information:					
15	Affidavit/Dec/Exhibit after Notice of Appeal	Exhibit8BakerDecl.pdf	678469	no	22
			4e0bf56db9993294ea7616e3619e1d04f2a947dd		
Warnings:					
Information:					
16	Fee Worksheet (PTO-875)	fee-info.pdf	32088	no	2
			6220e05575dd28e75622c14acd5bf4b4bdd5457c		
Warnings:					
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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.